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PAPERWORK REDUCTION ACT SUBMISSION

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1. Agency/Subagency originating request Dept. of Homeland Security/US Coast Guard		2. OMB control number a. <u>1 6 2 5 - 0 0 7 8</u> b. <input type="checkbox"/> None	
3. Type of information collection (check one) a. <input type="checkbox"/> New collection b. <input type="checkbox"/> Revision of a currently approved collection c. <input checked="" type="checkbox"/> Extension of a currently approved collection d. <input type="checkbox"/> Reinstatement, without change, of a previously approved collection for which approval has expired e. <input type="checkbox"/> Reinstatement, with change, of a previously approved collection for which approval has expired f. <input type="checkbox"/> Existing collection in use without an OMB control number For b-f, note item A2 of Supporting Statement instructions		4. Type of review requested (check one) a. <input checked="" type="checkbox"/> Regular submission b. <input type="checkbox"/> Emergency - Approval requested by: ___/___/___ c. <input type="checkbox"/> Delegated 5. Small entities. Will this information collection have a significant economic impact on a substantial number of small entities? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
6. Requested expiration date a. <input checked="" type="checkbox"/> Three years from approval date b. <input type="checkbox"/> Other Specify: ___/___			
7. Title Licensing and Manning Requirements for Officers on Towing Vessels			
8. Agency form number(s) (if applicable) n/a			
9. Keywords Licensing, Marine safety, Qualifications, Towing vessel			
10. Abstract Licensing and manning requirements ensure that towing vessels operating on the navigable waters of the U.S. are under the control of licensed officers who meet certain qualification and training standards.			
11. Affected public (Mark primary with "P" and all others that apply with "X") a. <input type="checkbox"/> Individuals or households d. <input type="checkbox"/> Farms b. <input checked="" type="checkbox"/> Business or other for-profit e. <input type="checkbox"/> Federal Government c. <input type="checkbox"/> Not-for-profit institutions f. <input type="checkbox"/> State, Local or Tribal Gov't		12. Obligation to respond (Mark primary with "P" and all others that apply with "X") a. <input type="checkbox"/> Voluntary b. <input type="checkbox"/> Required to obtain or retain benefits c. <input checked="" type="checkbox"/> Mandatory	
13. Annual reporting and recordkeeping hour burden a. Number of respondents <u>17,143</u> b. Total annual responses <u>16,641</u> 1. Percentage of these responses collected electronically <u>15</u> % c. Total annual hours requested <u>17,159</u> d. Current OMB inventory <u>15,338</u> e. Difference <u>+ 1,821</u> f. Explanation of difference 1. Program change 2. Adjustment <u>+ 1,821</u>		14. Annual reporting and recordkeeping cost burden (in thousands of dollars) a. Total annualized capital/startup costs b. Total annual costs (O&M) c. Total annualized cost requested d. Current OMB inventory e. Difference f. Explanation of difference 1. Program change 2. Adjustment	
15. Purpose of information collection (Mark primary with "P" and all others that apply with "X") a. <input type="checkbox"/> Application for benefits e. <input type="checkbox"/> Program planning or management b. <input type="checkbox"/> Program evaluation f. <input type="checkbox"/> Research c. <input type="checkbox"/> General purpose statistics d. <input type="checkbox"/> Audit g. <input checked="" type="checkbox"/> Regulatory or compliance		16. Frequency of recordkeeping or reporting (check all that apply) a. <input checked="" type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure c. <input checked="" type="checkbox"/> Reporting 1. <input checked="" type="checkbox"/> On occasion 2. <input type="checkbox"/> Weekly 3. <input type="checkbox"/> Monthly 4. <input type="checkbox"/> Quarterly 5. <input type="checkbox"/> Semi-annually 6. <input checked="" type="checkbox"/> Annually 7. <input type="checkbox"/> Biennially 8. <input type="checkbox"/> Other (describe)	
17. Statistical methods Does this information collection employ statistical methods? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		18. Agency contact (person who can best answer questions regarding the content of this submission) Name: <u>Mr. David Du Pont</u> Phone: <u>(202) 267-0971</u>	

**Supporting Statement
for
Licensing and Manning Requirements
for Officers of Towing Vessels**

A. Justification

1. Circumstances that make the collection of information necessary.

The U.S. Coast Guard has requirements in 46 CFR part 10 for licensed individuals that operate towing vessels. The Coast Guard defines a "towing vessel" as any commercial vessel engaged in towing another vessel astern, alongside, or by pushing ahead. These regulations help to ensure that towing vessels operating on the navigable waters of the United States are under the control of mariners who comply with standards for training and licensing qualifications. The information collection requirements described in this supporting statement are necessary to comply with 46 CFR part 10. The Coast Guard requires that vessel employees maintain documentation of ongoing participation in training and drills if they are seeking a license as master or mate of towing vessels or for renewal of licenses. Recording this information is necessary so those mariners are able to demonstrate proficiency in: vessel management, seamanship, navigation, watchkeeping, radar operation, fire prevention/fighting, emergency procedures, lifesaving training, and environmental regulations. Information collection activities are logged in a towing officers' assessment record to confirm mariner qualifications for towing vessel licensing or endorsements. The Coast Guard requires a final evaluation by a designated examiner to verify a mariner's qualification for license upgrade to mate (pilot) of towing vessels.

The need for the collection of information is to ensure that the mariner's training information is available to assist in determining an individual's overall qualification to hold a Coast Guard issued merchant mariner's towing vessel license.

This information collection supports the following strategic goals:

Coast Guard

- Safety
- Protection of Natural Resources

Marine Safety, Security and Environmental Protection

Directorate (G-M)

- Safety: Eliminate deaths, injuries, and property damage associated with commercial maritime operations.
- Human and Natural Environment: Eliminate environmental damage associated with maritime transportation and operations on and around the nation's waterways.

2. By whom, how, and for what purpose the information is to be used.

The purpose of the information collection is to document a mariner's qualifications and ensure that the mariner maintains a record of training and experience. The information collection requires crewmembers on towing vessels to maintain documentation of ongoing participation in training and drills. These recordkeeping requirements are consistent with good commercial practices and dictates good seamanship for safe navigation.

3. Consideration of the use of improved information technology.

The information collection must be in written or electronic form, and must be retained by the companies, onboard the vessel or made readily available to the Coast Guard upon request. There is no technology that can decrease the burden of this information collection. However, this requirement does not restrict the collection of information to written form. Electronic files are allowed and would reduce the physical volume of records.

We estimate that 100% of the recordkeeping can be done electronically. At this time, we estimate that 15% are done electronically.

4. Efforts to identify duplication. Why similar information cannot be used.

There are no State or local regulations relating to this issue. Other Federal agencies do not conduct similar information collection. Similar information does not exist.

5. Methods to minimize the burden to small businesses if involved.

The burden on small entities should be proportional to the number of employees and vessels operated by the company. The Coast Guard expects that these information collection requirements will not have a significant economic impact on a substantial number of small entities.

6. Consequences to the Federal program if collection were not done or conducted less frequently.

If the Coast Guard conducted information collection less frequently, compliance with the training and licensing requirements for towing vessel operations would delay review of mariners' qualifications and processing license transactions. Although the Coast Guard finds that most prudent operators already maintain records on their own, these regulations are intended to ensure compliance by those companies not conforming to the safety practices of the majority of the industry.

Without an information collection, the owner or operator of a towing vessel would not be assured that there has been sufficient training for proper licensing of its personnel and operation of their vessels.

7. Explain any special circumstances that would cause the information collection to be conducted in a manner inconsistent with guidelines.

Not applicable.

8. Consultation.

The regulations revising the licensing and manning requirements for officers of towing vessels (USCG-1999-6224; old CGD 94-055) were developed using the Federal rulemaking process. The Coast Guard published a Notice of Proposed Rulemaking (NPRM) (61 FR 31332) on June 19, 1996, and held a public meeting on September 25, 1996, as part of a public comment period. Further, the Coast Guard published a Supplemental Notice of Proposed Rulemaking (SNPRM) (62 FR 55548) on October 27, 1997, and held 4 public meetings. Additionally, the Coast Guard consulted with the Towing Safety Advisory Committee (TSAC) and the Merchant Marine Personnel Advisory Committee (MERPAC) in the development of these regulations.

The rulemaking (USCG-1999-6224) creates a new licensing regime with levels of qualification and with enhanced training and operating experience, including practical demonstration of skills. The rulemaking addressed public comments and recommendations by the TSAC and MERPAC. This resulted in an increase in the population to require recording of documentation of ongoing participation in training and drills. Industry comments prompted a change, so that competent and established (already licensed) mariners are not required to attend simulator training or other training mechanisms at a substantial cost. Instead these mariners provide records (paperwork requirement) to prove their continued qualifications. Although the paperwork burden increased, this action reduced the overall cost of the rulemaking.

The Coast Guard published an Interim Rule (IR) with request for comment on November 19, 1999 (64 FR 63213). The 60-day comment period for the IR closed January 18, 2000. The Coast Guard published a second IR, on October 27, 2000 (65 FR 64388), extending the implementation date of the first IR from November 20, 2000, to May 21, 2001. The Coast Guard published a third IR, on April 26, 2001 (66 FR 20931). For this collection, the Coast Guard also consulted with the American Waterways Operators (AWO) for specific information as well. The Coast Guard published a Final Rule on June 17, 2003 (68 FR 35801).

9. Explain any decision to provide payment or gift to respondents.

No payment or gift is offered to respondents.

10. Describe any assurance of confidentiality provided to respondents.

There is no issue of confidentiality involved.

11. Additional justification for any questions of a sensitive nature.

There are no questions of a sensitive nature.

12. Estimates of reporting and recordkeeping hour and cost burdens of the collection of information.

- The total number of respondents is 17,143.
- The total number of responses is 16,641.

- The estimated annual hour burden is 17,159.
- The estimate annual cost burden is \$320,761.

The reporting and recordkeeping burden includes time to update and review training records and oversee and maintain final evaluations as follows:

Documentation of ongoing participation in training and drills (10.209(c)). This requires currently licensed towing vessel operators to submit documentation of ongoing participation in training and drills when renewing their licenses. Therefore, the mariners should maintain records of ongoing participation in training and drills.

Towing Officers' Assessment Record (TOAR) (10.464(g) and 10.465(e)). This requires each master or mate of self-propelled vessels of greater than 200 gross tons seeking an endorsement for towing vessels, to complete a towing officers' assessment record (TOAR).

Final Check-Ride Review 10.209(c)(6) and 10.465(f). The final check-ride is one of 3 options available to demonstrate proficiency. We estimate that 30% of entering and 5% of existing mariners will choose this option.

Companies have to maintain evidence 10.464(f) and 10.465(c) that every vessel it operates under direction and control of a licensed mariner with appropriate experience.

The populations (respondents) that may be affected by this collection are estimated as follows:

Existing licensed mariners	- 16,176 ¹
Prospective licensed mariners	- 320
Companies w/licensed mariners	- 647 ²

Annual Burden (Respondents):

Industry Burden:

1) **New Applicants:** There are estimated to be 320 new entrants to the industry who will apply for licenses each year.³ The paperwork burden is due to new requirements for

¹ Data obtained from the National Maritime Center's (NMC) Marine Licensing and Documentation Database (MMLD).

² Data obtained from the American Waterways Operators (AWO).

³ This value is being retained since this collection was updated as recently as 2002 and since the Coast Guard was not able to obtain data that contradicts this number.

recordkeeping and the application process, as well as the check-ride updates. This is estimated at 1 hour per applicant per year. Total cost of this burden is:

Number of Entering Mariners:	320
Multiplied by the recordkeeping and application burden per applicant per year:	<u>1</u>
Total Hours per year for recordkeeping and applications:	320 hrs
Number of mariners undergoing check-rides per year (30%):	96
Multiplied by update burden per check-ride (hours):	<u>0.5</u>
Total hours per year for check-ride updates:	48
Total hours per year for new applicants:	368 hrs
Multiplied by the wage rate:	<u>\$18.75⁴</u>
Total cost for providing information (new applicants):	\$6,900

2) **Existing Mariners:** The regulations require all towing vessel personnel to submit documentation of ongoing participation in training and drills as a prerequisite for renewal of licenses. The Coast Guard estimates that approximately 95% of mariners will choose this method of renewal. This recordkeeping is also required of individuals seeking endorsements as master or mate of towing vessels or for restricted local areas. We estimate that this recordkeeping will take 1 hour of a mariner's time per year. While renewal requests are submitted once every 5 years, the required recordkeeping is constant. The total cost of this burden is:

Number of Existing Towing Vessel Licenses:	16,176
Multiplied by percentage renewing by submitting documentation of ongoing participation in training and drills:	95%
Number of mariners renewing by submitting documentation of ongoing participation in	

⁴ Wage rate obtained from Coast Guard staff members.

training and drills:	15,367
Number of mariners seeking endorsements:	49 ⁵
Total number of mariners submitting documentation of ongoing participation in training and drills and seeking endorsements:	<u>15,416</u>
Multiplied by the recordkeeping and application burden per mariner per year (hours)	1
Total hours per year for submitting Documentation and seeking endorsements:	15,416 hrs
Number of mariners undergoing check-rides per year (1%) ⁶ :	162
Multiplied by update burden per check-ride (hours):	<u>0.5</u>
Total hours per year for check-ride updates:	81 hrs
Total hours per year for existing Mariners (15,416 + 81 = 15,497):	15,497 hrs
Multiplied by the wage rate:	<u>\$18.75</u>
Total Cost of Recordkeeping and Reporting: (existing mariners)	\$290,569

3) **Companies:** Towing companies are required to maintain evidence that every vessel they operate is under the direction and control of a licensed mate or master with appropriate experience, including 30 days of observation and training on the intended route. While this could be accomplished using copies of records that most companies already keep, it is impossible to determine exactly how many companies will have an increased burden (the data we obtained was from the National

⁵ This data was obtained from NMC's MMLD and is an average over a 5-year period from September 1998 to September 2003. The number of endorsements being sought is not constant from year to year and has actually increased by a small amount over the past two years.

⁶ We expect 5% of existing mariners to choose the check-ride method for renewal, this will occur over a 5-year period. Therefore, we expect that about 1% per year will renew by this method.

Maritime Center). We therefore considered all of the companies as having this burden. We also estimated the annual time burden to each company to be approximately 2 hours. The total cost to towing companies is:

Number of companies:	647
Multiplied by the number of hours/year required to maintain records:	2
Total number of hours spent by companies:	1,294 hrs
Multiplied by the hourly wage of personnel (equivalent to a Seaman, per COMDTINST 73101.1F) maintaining the records:	\$18
Total annual cost to companies for maintaining personnel records:	\$23,292

Summary of Annual Hour Burden of Collecting Information:

1. Total hour burden for providing information (new applicants):	368 hrs
2. Total hour burden of submitting records on documentation of ongoing participation in training and drills, including the cost for check-rides update (existing mariner):	15,497 hrs
3. Total hour burden for maintaining personnel records (companies):	<u>1,294 hrs</u>
Total Annual Industry Burden (hours)	17,159 hrs

Summary of Annual Costs of Collecting Information:

1. Total cost for providing information (new applicants):	\$6,900
2) Total cost of submitting records on documentation of ongoing participation in training and drills, including the cost for check-rides update (existing mariner):	\$290,569
3) Total cost for maintaining personnel records (companies):	<u>\$23,292</u>
Total Annual Industry Cost:	\$320,761

13. Estimates of annualized capital and start-up costs.

Not applicable.

14. Estimates of annualized Federal Government costs.

The Federal Government burden is the time it takes Coast Guard personnel to review the documentation of ongoing participation in training and drills for existing mariners as well as the service records, applications and check-ride results of entry mariners. These reviews are expected to take 1 hour each for documentation of ongoing participation in training and drills and entry mariners' service records and applications. Check-ride reviews will take 0.5 hours. The total number of towing vessel licenses issued is **16,176**. The number of mariners choosing to submit documentation of ongoing participation in training and drills is 95% of this total (**15,367**). Since licenses are valid for 5 year periods, we assume that only 1/5th (20%) of this total will submit renewal requests in any given year. The total cost of this burden is:

Number of Existing Mariners:	16,176
Multiplied by percentage of mariners submitting documentation for renewal:	95%
Number of mariners renewing:	15,367
Multiplied by the percentage submitting renewal requests per year:	20%
Total renewal requests per year:	3,073
Number of mariners seeking endorsements:	49
Number of entering mariners:	<u>320</u>
Total number of reviews for Government (3,073 + 49 + 320 = 3,442):	3,442
Multiplied by the recordkeeping and application burden per mariner per year (hours):	<u>1</u>
Total hour burden recordkeeping and application review:	3,442 hrs
Number of check-ride reviews [(96 for new applicants + 162 existing mariners) = 258]:	258
Multiplied by update burden per check-ride:	<u>0.5</u>
Total hours per year for check-ride updates:	129 hrs

Total Information Collection Burden to Government
(3,442 + 129 = 3,571) (hours): 3,571 hrs

Multiplied by the hourly wage rate for reviewers
(Equivalent to a GS-7 or GS-8, per COMDTINST
73101.1F = \$28/hour): \$28

Total Government Cost: \$99,988

15. Explain the reasons for the change in burden.

The change in burden is an ADJUSTMENT due to a change in the mariner and company populations.

16. For collections of information whose results are planned to be published for statistical use, outline plans for tabulation, statistical analysis and publication.

There are no plans to use statistical analysis or to publish this information.

17. Approval to not display expiration date.

Not applicable.

18. Explain each exception to the certification statement.

Not applicable.

B. Collection of Information Employing Statistical Methods.

This collection does not require the use of statistical methods.